



Australian Government

Department of Education, Employment and Workplace Relations

BSBRKG403C Set up a business or records system for a small business

Release: 1

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Modification History

Release	Comments
Release 1	This version first released with <i>BSB07 Business Training Package version 6.0</i>. Revised unit. Required knowledge and Range Statement changed to include environmentally sustainable practices. Replaces BSBRKG403B Set up a business or records system for a small business

Unit Descriptor

This unit describes the performance outcomes, skills and knowledge required to research, develop and implement business or records systems for a small office.

Application of the Unit

This unit applies to individuals who are required to demonstrate understanding of a broad knowledge base incorporating some theoretical recordkeeping concepts. The application is in relation to individuals working in a range of 'small' office environments where, in most cases, recordkeeping is only part of the individual's responsibilities; the unit addresses the less formal recordkeeping requirements of micro or small businesses or branches and technical operations centres of larger organisations.

Typically, the individual would report to a supervisor or manager within the organisation and be solely responsible for the development and implementation of business or records systems, including training users of the system.

Licensing/Regulatory Information

No licensing, legislative, regulatory or certification requirements apply to this unit at the time of endorsement.

Pre-Requisites

Not applicable.

Employability Skills Information

This unit contains employability skills.

Elements and Performance Criteria Pre-Content

Element	Performance Criteria
<i>Elements describe the essential outcomes of a unit of competency.</i>	<i>Performance criteria describe the performance needed to demonstrate achievement of the element. Where bold italicised text is used, further information is detailed in the required skills and knowledge section and the range statement. Assessment of performance is to be consistent with the evidence guide.</i>

Elements and Performance Criteria

1. Determine recordkeeping requirements	1.1 Identify and document core business, supporting activities, resources, and business and social context using observation and consultation 1.2 Determine security and access requirements for business or records system content from analysis of organisation's activities 1.3 Analyse business documentation to determine organisational reporting and accountability requirements 1.4 Identify organisational functions and activities for which records must be kept, from analysis of business and context documentation 1.5 Determine nature, detail, and format of records (content and metadata) for each organisational function and activity from analysis of the business and its context
2. Devise an appropriate recordkeeping system	2.1 Determine metadata needed to manage records (store, locate and retrieve) in a business or records system 2.2 Select scale and number of business or records systems appropriate to scale and nature of business operations 2.3 Select technological requirements of business or records systems appropriate to scale and nature of business operations 2.4 Select cost structure for business or records systems appropriate to scale, nature, and organisational cash flow requirements 2.5 Ensure maintenance, disposal and updating requirements of business or records system conform to scale, nature, and culture of the organisation 2.6 Select business or records system suited to projected growth of the organisation
3. Develop business rules and procedures to support operations	3.1 Develop rules for incorporating individual records and information (records capture) into the business or records system 3.2 Develop rules for deciding and recording retention periods and appropriate disposal actions for records 3.3 Develop and document procedures for the use of the system 3.4 Provide system users with training or instructions in the use of the business or records system, in line with the culture and scale of the organisation

Required Skills and Knowledge

This section describes the skills and knowledge required for this unit.

Required skills

- communication skills to explain and clarify procedures, and to consult with users of a records or business system
- literacy skills to read and interpret record content, functions and problems
- problem-solving and analysis skills to identify requirements of business or records system.

Required knowledge

- key provisions of relevant legislation from all forms of government, regulations, standards and documentation that may affect aspects of business operations, such as:
 - AS 5044.1:2002 AGLS Metadata element set
 - AS 5090:2003 Work process analysis for recordkeeping
 - AS ISO 15489:2004 Records management
 - AS ISO 23081.1:2006 Information and documentation – Records management processes – Metadata for records – Principles
 - Australian Stock Exchange (ASX) Principles of Good Corporate Governance
 - ethical principles
 - codes of practice
 - privacy and freedom of information
 - archives and records legislation
 - occupational health and safety
 - environmental sustainability practices in business operations
- general principles and processes of records management and records management systems, such as:
 - systems of control
 - records continuum theory
 - mandate and ownership of business process
 - environmental context
 - records characteristics
- internal controls
- organisational functions, structure and culture
- organisational policies and strategies
- organisational technological base.

Evidence Guide

The evidence guide provides advice on assessment and must be read in conjunction with the performance criteria, required skills and knowledge, range statement and the Assessment Guidelines for the Training Package.

Overview of assessment	
Critical aspects for assessment and evidence required to demonstrate competency in this unit	Evidence of the following is essential: - translating business functions and reporting requirements into a brief that describes the requirements of a business or records system - developing a business or records system, including rules and procedures - knowledge of organisational functions, structure and culture.
Context of and specific resources for assessment	Assessment must ensure: - access to examples of records, recordkeeping systems and policies - access to workplace reference materials such as procedural manuals and company policies.
Method of assessment	A range of assessment methods should be used to assess practical skills and knowledge. The following examples are appropriate for this unit: - analysis of responses to case studies and scenarios - demonstration of techniques - direct questioning combined with review of portfolios of evidence and third party workplace reports of on-the-job performance by the candidate - review of documentation outlining procedures developed for the use of the system - oral or written questioning to assess knowledge of general principles and processes of recordkeeping systems.
Guidance information for assessment	Holistic assessment with other units relevant to the industry sector, workplace and job role is recommended, for example: - administration units - other knowledge management units.

Range Statement

The range statement relates to the unit of competency as a whole. It allows for different work environments and situations that may affect performance. Bold italicised wording, if used in the performance criteria, is detailed below. Essential operating conditions that may be present with training and assessment (depending on the work situation, needs of the candidate, accessibility of the item, and local industry and regional contexts) may also be included.

Documenting core business may involve identifying:	• authenticity, integrity, reliability and useability of records or other documents • diagrammatic representations • formal documents • hand written documents • informal communications • online instructions or computer-based format instructions that can be updated • paper-based manuals • other text.
Resources may include:	• human resources and their availability • location of resources currently in operation • physical resources • organisational policies and procedures • technological resources • those available for purchase or development.
Business and social context may include:	• clients or customers and their expectations • codes of ethics and codes of professional conduct specific to industry sector • community expectations • governance frameworks • industry sector characteristics and reporting requirements of that sector • internal and external accountability requirements • internal and external stakeholders whose interests must be taken into account • other relevant legislation and regulations, including those covering: • business activity reporting • business and income (PAYE) taxation • corporation law reporting requirements • environmental protection and waste management • goods and services tax collection • industrial relations

	• occupational health and safety • privacy protection • statutory access rights and freedom of information • superannuation • environmentally sustainable business practice • social and ethical standards the community expects the organisation to meet.
Consultation may include organisation's:	• head office • local management • principals • staff.
Business or records systems may include:	• archival control systems • business systems • cash register-based systems • characteristics relating to: • aggregations • context • entities • metadata • current business or records systems • electronic records and document management system (ERDMS) • informal • paper-based accumulation and card systems • PC-based accounting systems, employee and tax records systems • proprietary recordkeeping package • storage facilities systems.
Organisational functions and activities that may be documented may include:	• asset management • conventional and email correspondence • customer relationship management • human resources management • invoicing and sales • legislative, regulatory and licensing compliance • marketing and promotion • purchasing and expenditure • research and development • risk management • stock control.
Records may include:	• different stages of use: • active

	• archival • digital: • remote drives • servers • CDs • DVDs • imaging systems • PC-based applications • mainframe • physical: • audio-visual or multimedia • graphic • microform • paper-based (acid free or multiple copies) • variety of sources: • already in the custody of the organisation • in the process of being transferred between organisations.
Metadata are those records which are maintained about the records themselves and may include:	• activity classification terms • date, time, and location of record creation or registration into the system • identity of record creator • indexing and descriptive terms • record format • security and access information • unique identifiers for each record.
Procedures for the use of the system may include:	• how to use the business or records system • considering format and style • considering appropriateness for scale, nature, culture and number of operators who use the system.

Unit Sector(s)

Knowledge Management – Recordkeeping

Custom Content Section

Not applicable.